



Department of Defense Consolidated Adjudications Facility

May 18, 2016

**NATIONAL DEFENSE INDUSTRIAL (NDIA)
AND THE AEROSPACE INDUSTRIES ASSOCIATION (AIA)**

MR. DAN PURTILL

DEPUTY DIRECTOR, DOD CONSOLIDATED ADJUDICATIONS FACILITY



Agenda

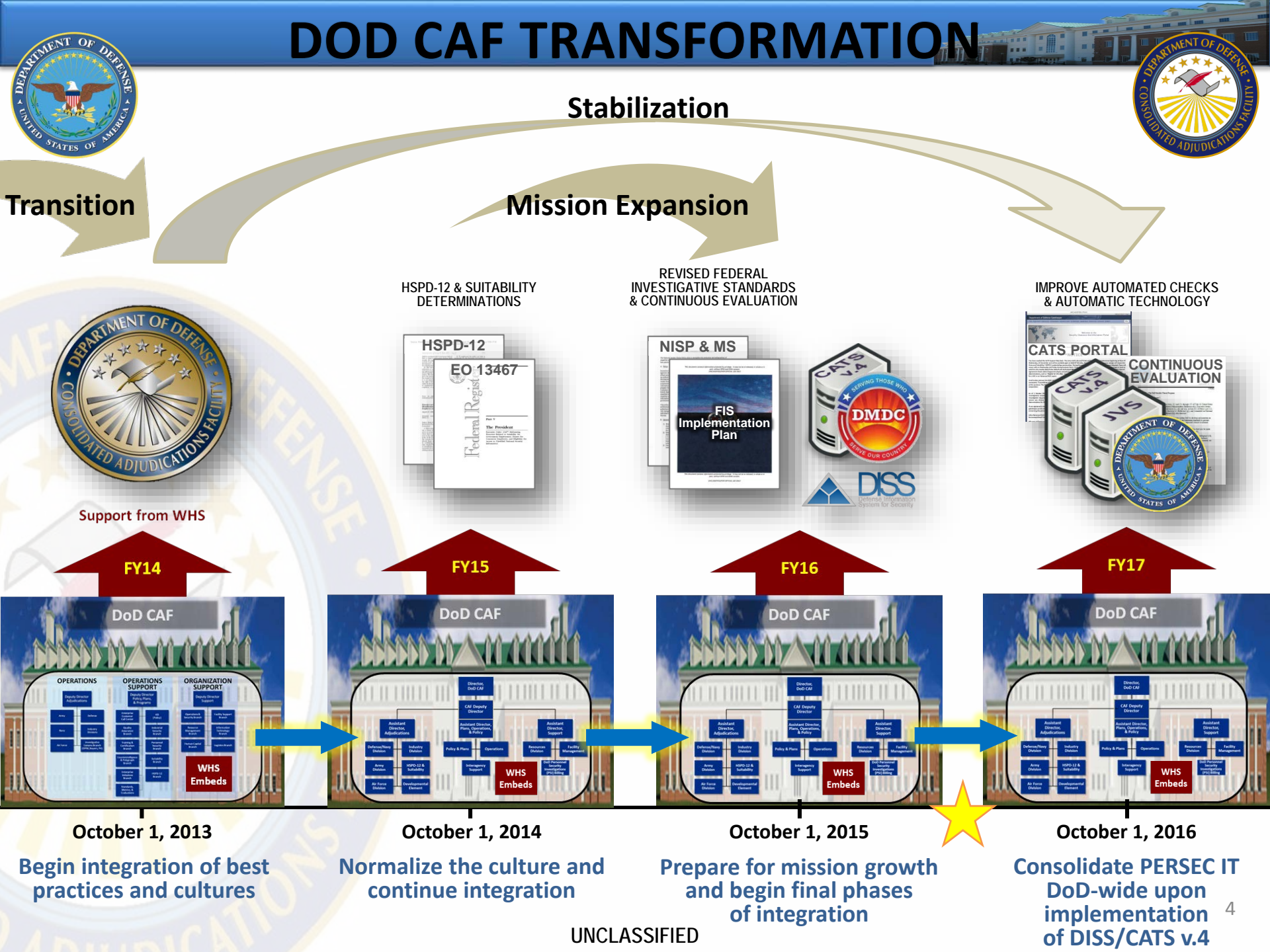
- Mission
- Industry Workload
- IRTPA Report
- Initiatives
- Adjudicative Process
- Questions



DoD CAF Mission

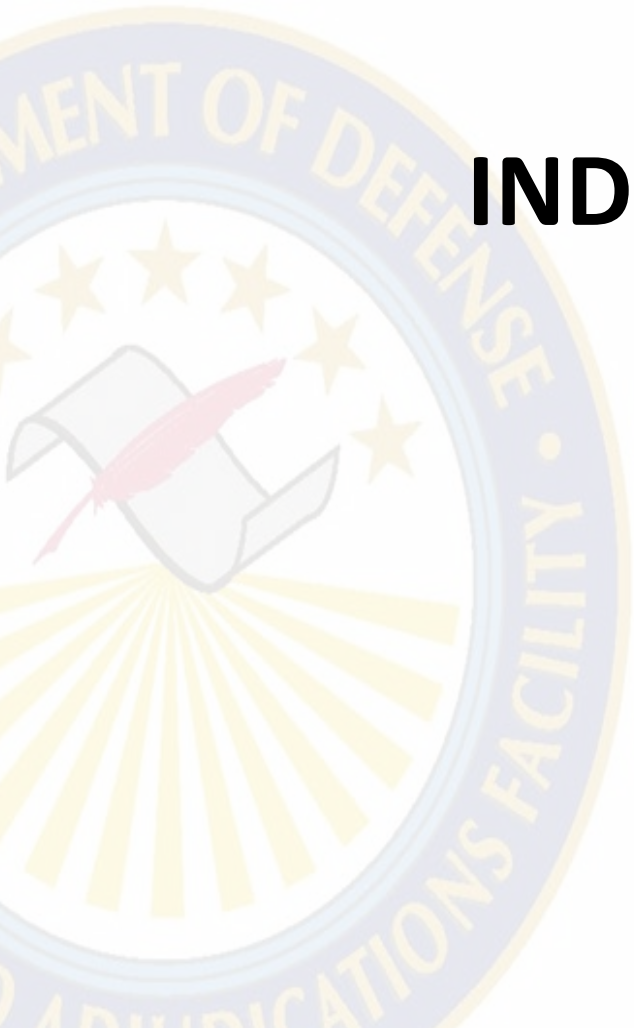
The DoD CAF is the sole authority to determine the security clearance eligibility of non-intelligence Agency DoD personnel occupying sensitive positions and/or requiring access to classified material including Sensitive Compartmented information (SCI). These determinations involve all military service members, applicants, civilian employees, and consultants affiliated with the Department of Defense, to include DoD personnel at the White House and contractor personnel under the National Industrial Security Program. The DoD CAF also adjudicates security clearance eligibility for staff of the United States Senate and House of Representatives, the Congressional Budget Office, and the United States Capital Police. Additionally, the DoD CAF renders favorable adjudicative determinations for employment suitability of DoD civilian employees and Common Access Card (CAC) or Fitness eligibility of non-cleared DoD contractor.

DOD CAF TRANSFORMATION





INDUSTRY WORKLOAD & IRTPA

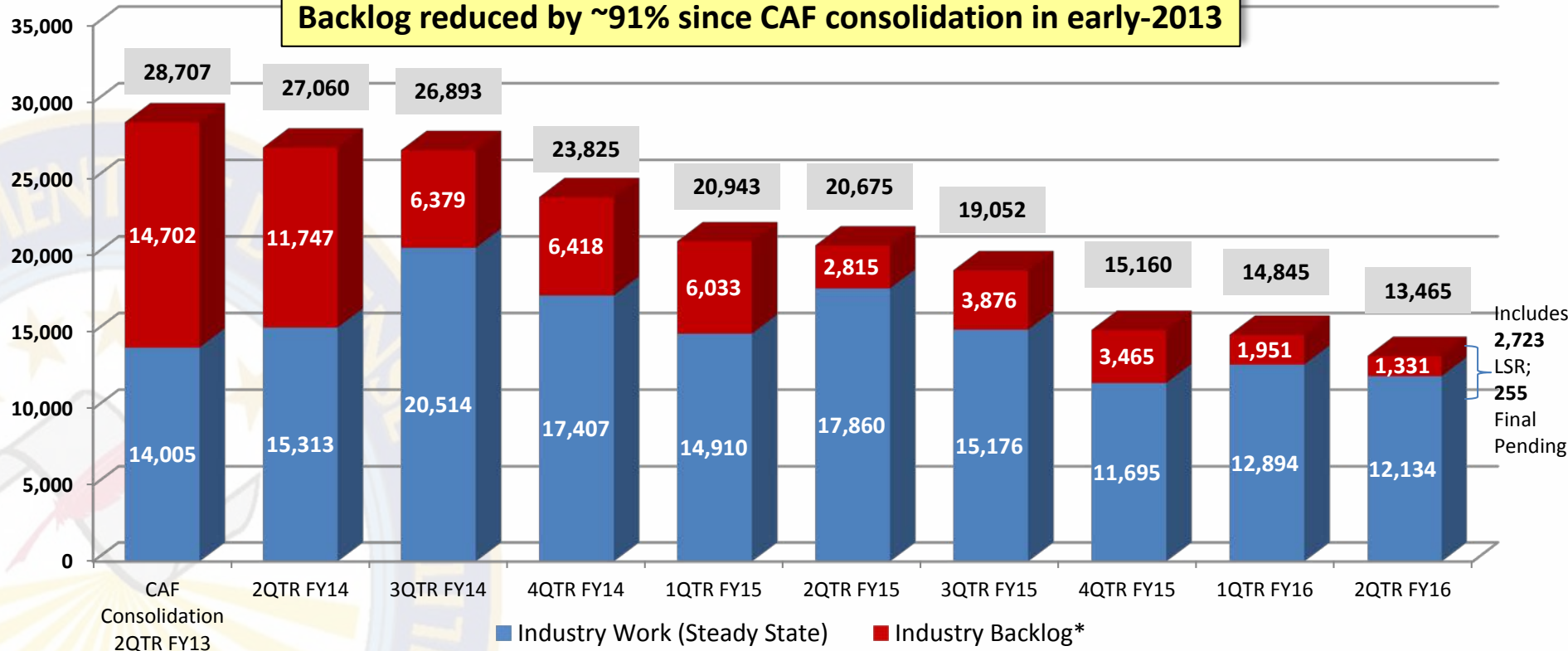




Industrial Cases Pending Adjudication

Includes cases Undergoing Legal Sufficiency Review (LSR) at DOHA

Backlog reduced by ~91% since CAF consolidation in early-2013



•Backlog to be eliminated not earlier than late-FY16

•Potential Complications Remain:

- + CATs v4 Deployment to reduce production by ~20% (Jun 16 – Jan 17)
- + Full impact of CE implementation not yet realized
- + FY16-18 – New FIS increase of workload and reduction of e-Adjudication
- + Loss of e-Adj. in FY16 resulted in an increase of ~3,100 (+3%) for Industry

Month	NISP Backlog	FY 15 NISP Receipt*	Backlog % of Total NISP
October 13	13,515		7.4%
March 16	1,331		0.7%
	-12,184	~ 183,000	

*Includes Personal Security Investigations, Incident Reports, Reconsiderations, etc. (does not include SACs)



OPM Oversight Report for Mar 2016

PERSEC "End to End"

Adjudication – Only Timelines

All Agencies	158 days
Defense	154 days
Army	140 days
Navy	140 days
Air Force	149 days
Industry	214 days
Homeland Security	221 days
Energy	196 days
DHHS	210 days
Justice	297 days
OPM	73 days
Transportation	146 days
Interior	196 days
NRC	192 days
Treasury	219 days
VA	147 days
Agriculture	216 days
Commerce	225 days
NASA	202 days
GSA	263 days
NARA	363 days
EPA	331 days
SSA	N/A
HUD	N/A
Labor	316 days
FCC	N/A
Education	N/A
NSF	195 days

DoD CAF Adjudication Timelines:

- Initial (All Types) – Adjudicated in **9** of 20 days
- SSBI-PRs – Adjudicated in **31** of 30 days

Industry Only Timelines:

- Initial (All Types) – Adjudicated in **14** of 20 days
- SSBI-PRs – Adjudicated in **94** of 30 days

Prolonged CATS outages and closure of old backlogged cases combine to keep Industry's PR's >30 days

4th Estate Only Timelines:

- Initial (All Types) – Adjudicated in **15** of 20 days
- SSBI-PRs – Adjudicated in **17** of 30 days
- Tier 3-PRs – Adjudicated in **10** of 30 days

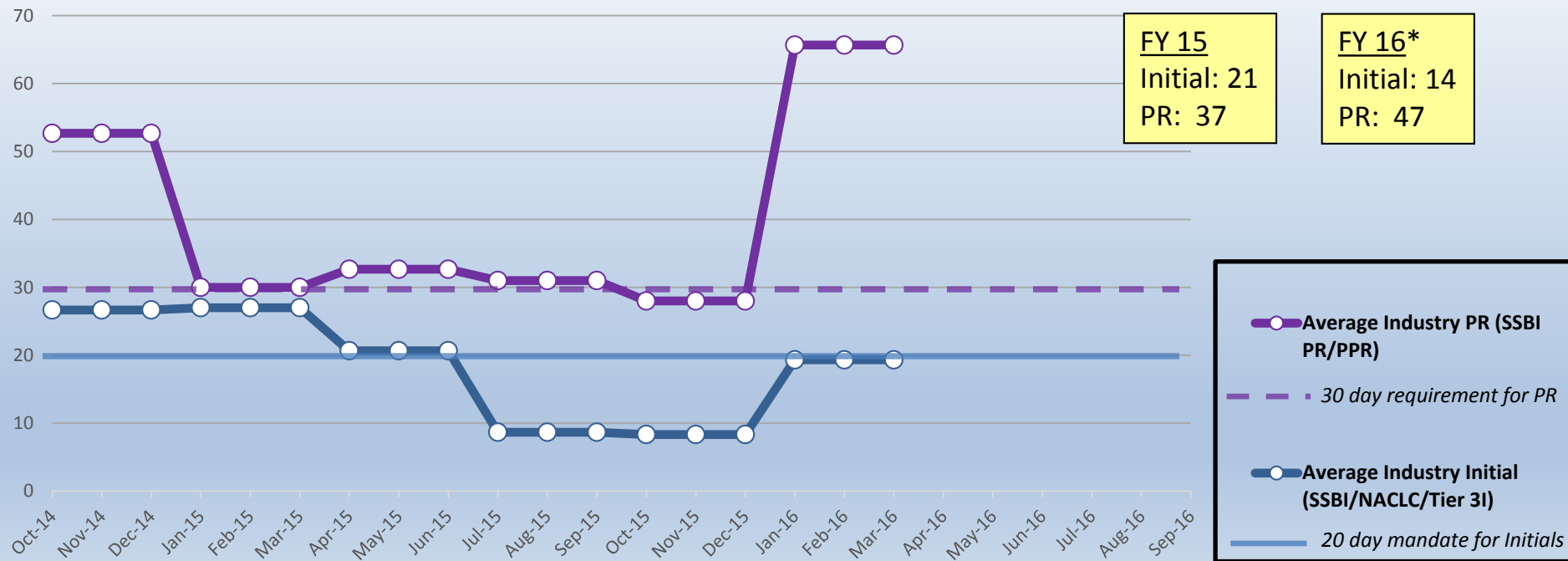
DoD remains compliant with IRTPA mandates

DoD is #4 of 23 Federal Departments for March 2016

DoD is below the "All Agencies" average



Industry Intelligence Reform and Terrorism Prevention Act Performance FY14-FY16 to Date



- FY 15 - Both NISP and non-NISP timeliness metrics fluctuated as backlogs were addressed
- FY 16 - Timelines to become more stable, and within IRTPA mandates, as last vestiges of "old"(backlog) cases are closed
- Increase in Initial and PR timeliness in 2nd and 3rd Qtrs (FY 16) due to an emphasis on closing backlogged & suspense cases (eg. 23% of the PRs and initials closed during February were "old"/backlog cases)
- Other impact issues - OPM conversions of REO requests to RSI, IT issues, loss of e-adj, and high incoming volume



Takeaways for Industry

- **> 98% of Industry cases are adjudicated in < 30 days**

Pending Incident Reports (as of 29 Mar 16)

- Collateral: **2,400** (-100 (-4%) Since Nov 15)
 - 88% (**2,100**) are awaiting files or information
- TS/SCI: 134 under adjudication (**-360 (-73%)** Since Nov 15)

Received by the DoD CAF (FY16 -vs- FY15, 1st & 2nd Qtrs)

- Research, Recertify, Upgrade (RRU): **4,500** (-1,200 (-21%))
- Incident Reports: **3,500** (-3,900 (-53%))



INITIATIVES





Initiatives

- **DoD CAF improving communication with Security Officers DoD-wide:**
 - Leveraging PSMO-I expertise and “best-practices”
 - Quarterly Security Professionals Newsletter **(Mar 31, 2016)**
 - Alignment of Call Center Support Operations (CAF, PSMO-I, DMDC)
 - Monthly Joint Call Center meetings
 - Continuity of messaging to customers
 - Joint training between Call Center agents (CAF & PSMO-I)
 - Standardization of communications between field, PSMO-I, DoD CAF, and DMDC
- **FSO-Call Center Operation(CCO) Pilot**
 - CCO Pilot (Since July 2015)
 - 10 FSO’s participating ICW NISPPAC WG
 - Complete mission critical cases
 - Engage in ‘cross-over’ request
 - Complimentary to FSO Portal deployment (FY17-Q1)
 - End-State CAF, PSMO-I, DMDC and supported FSO’s



Initiatives

- **Transfer of 4th Estate SCI Adjudications from DIA CAF to DoD CAF:**
 - 10 Feb 16 DEPSECDEF signed Action Memo authorizing functional transfer
 - Transfer currently scheduled for 1 Jun 16
 - DIA/DoD CAF jointly executing a Communications Plan to 4th Estate Customers
- **CECD Pilot:**
 - 500K Personnel (2016); pilot capability evolving into operational CE system; ramp up continues
 - OUSD(I) integrating CE requirements into DISS, maintaining alignment w/ODNI CE capability
 - Validation Cell transitioning from reliance on LNOs to a permanent FTE resource stand-up
- **CATS v4 Update**
 - Q1 FY17 – IOC for Industry CATS, Portal and PSMO-I



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ADJUDICATIVE PROCESS

Ms. LATRICE McSWAIN
SENIOR ADJUDICATOR

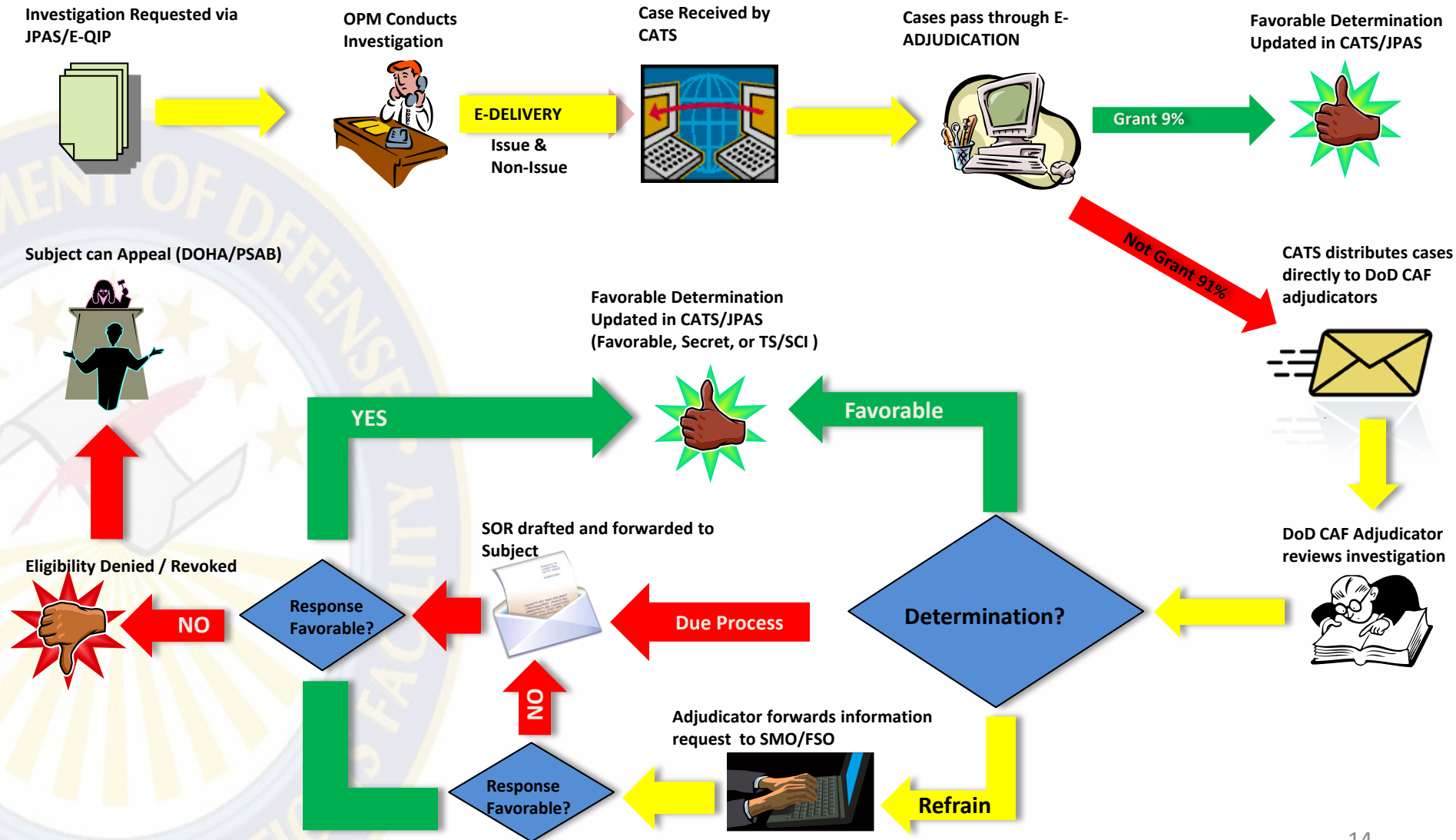
Grant...

Deny...

Revoke...
Suspend...

DOHA
Due Process...

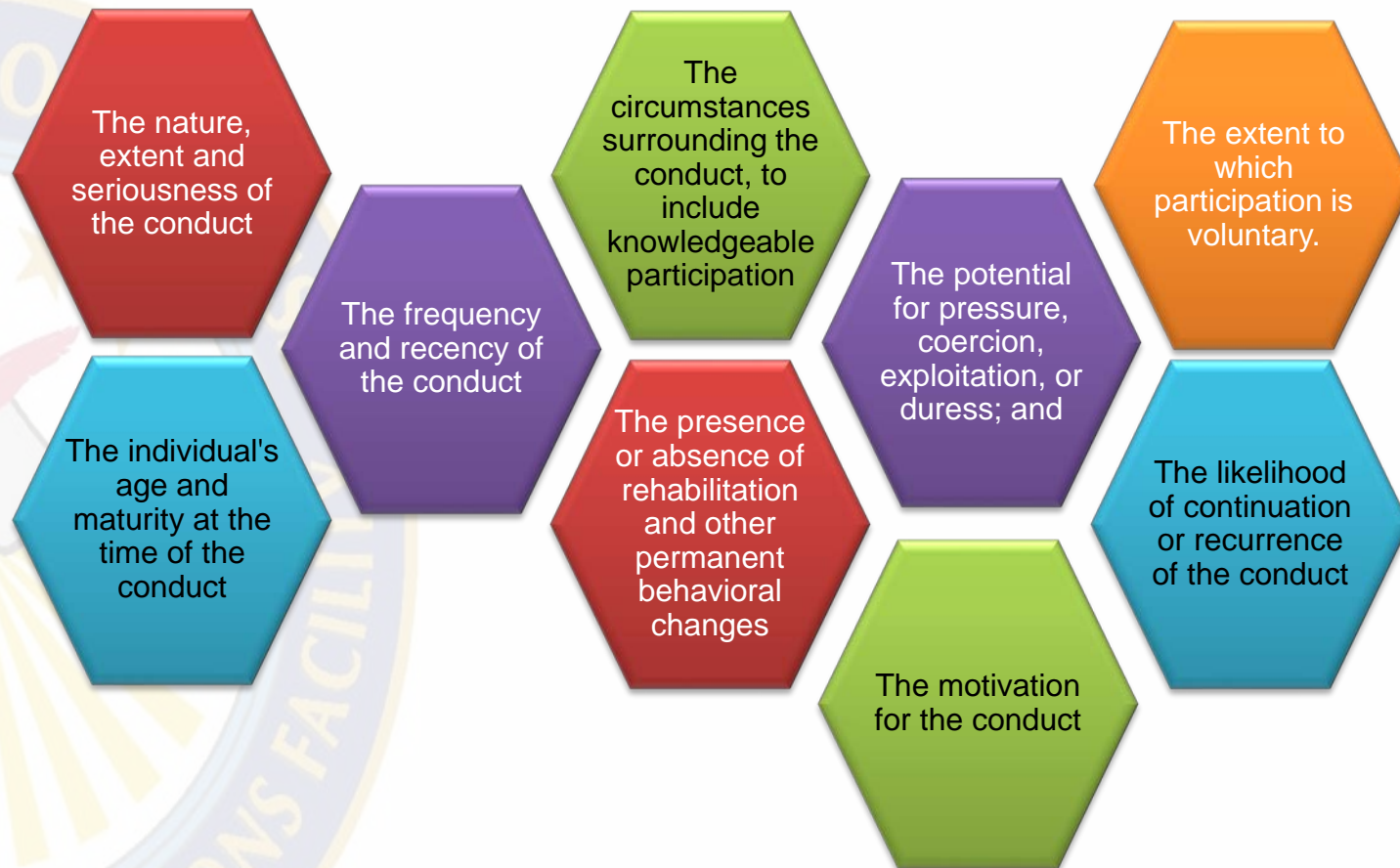
General Example of Current Process





Adjudications Process

Adjudication is an evaluation of the “whole person”





Adjudicative Guidelines

1. **Allegiance to the United States**
2. **Foreign Influence (14%)**
3. **Foreign Preference**
4. **Sexual Behavior**
5. **Personal Conduct (12%)**
6. **Financial Considerations (26%)**
7. **Alcohol Consumption**
8. **Drug Involvement**
9. **Psychological Conditions**
10. **Criminal Conduct (25%)**
11. **Handling Protected Information**
12. **Outside Activities**
13. **Use of Information Technology Systems**

For each guideline there are disqualifying conditions and mitigating factors





Why CAF May Return Investigations

- ✓ OPM is committed to ensuring PSI meets investigative standards
- ✓ OPM and DOD CAF communicate to address incomplete investigations
- ✓ DoD CAF has 3 common actions for incomplete investigations:
 - Request For Action – Correspondence to Security Rep
 - REOPEN request to OPM
 - RSI request to OPM
- ✓ **Missing Scope Items are sometimes required to be returned to OPM**
The top five circumstances include:
 - Subject Interview not completed
 - Frozen Credit Bureau Report
 - IRS Records/ Financial Records/Trustee Reports - Missing
 - Medical Evaluations - Incomplete
 - FINCEN Report - Missing



Customer Service Request

- ✓ All Industry Research, Recertify, or Upgrades (RRUs) are submitted via JPAS
- ✓ DSS PSMO-I processes all Industry RRUs for administrative (non-adjudicative) actions
- ✓ DSS PSMO-I ensures all RRUs requiring an adjudicative action are forwarded to the DoD CAF via CATS to the applicable CAF Division
 - Research
 - Recertify
 - Upgrades
 - Reciprocity
 - May accept an investigation/clearance when a determination by another Federal Agency meets the investigative scope and standards of DoD 5200.2- R and there has been no break in service over 24 months
 - If determined that the prior investigation does not meet the provisions of this DoD 5200.2- R, supplemental investigation shall be requested
 - Expedited requests are considered on a case by case basis (i.e. KMPs)



Welcome to our website!!



DEPARTMENT OF DEFENSE

CONSOLIDATED ADJUDICATIONS FACILITY

Providing Excellence in Adjudications

Find Out More

Announcements

The Department of Defense Consolidated Adjudications Facility Public Website has been crafted to reflect what our customers would like to see. It also builds upon the foundation of the DoD CAF, which is the tradition of excellence established by the seven former component CAFs in making adjudicative determinations. You will notice streamlined menus, simple navigation and access to the information you need, any time of day.

Visit the DoD CAF website today at <http://www.dodcaf.whs.mil/>.



DoD CAF

Bldg. 600, 10th Street, FGGM

QUESTIONS???





Back-Up





Adjudication Criteria – Comparison Table

13 x PERSEC Guidelines	HSPD-12 Credentialing Standards	Suitability Factors
Allegiance to the United States	(1) The individual is known to be or reasonably suspected of being a terrorist (2) The individual has knowingly and willfully engaged in acts or activities designed to overthrow the U.S. Government by force	Knowing and willful engagement in acts or activities designed to overthrow the U.S. Government by force
Foreign Influence	No Comparable Credentialing Standard	No Comparable Factor
Foreign Preference	No Comparable Credentialing Standard	No Comparable Factor
Sexual Behavior	Based on the individual's criminal or dishonest conduct, issuance poses an unacceptable risk	Criminal or Dishonest Conduct
Personal Conduct	(1) The individual has submitted fraudulent information concerning his or her identity (2) Based on the individual's misconduct or negligence in employment, issuance of a PIV card poses an unacceptable risk (3) A statutory or regulatory bar prevents the individual's contract employment; or would prevent Federal employment	(1) Misconduct or Negligence in Employment (2) Refusal to Furnish Testimony (3) Statutory or Regulatory Bar
Financial Considerations	No Comparable Credentialing Standard	Criminal or Dishonest Conduct - Only for Financial Irresponsibility if it leads to dishonesty
Alcohol Consumption	Based on the nature or duration of the individual's alcohol abuse without evidence of substantial rehabilitation, that issuance poses an unacceptable risk	Alcohol Abuse
Drug Involvement	Based on the nature or duration of the individual's illegal use of narcotics, drugs, or other controlled substances without evidence of substantial rehabilitation, that issuance of a PIV card poses an unacceptable risk	Illegal Use of Narcotics, Drugs, or Other Controlled Substances, without evidence of substantial rehabilitation
Psych Conditions	No Comparable Credentialing Standard	No Comparable Factor
Criminal Conduct	(1) The individual will use an identity credential outside the workplace unlawfully or inappropriately (2) Based on the individual's criminal or dishonest conduct, issuance of a PIV card poses an unacceptable risk (3) Based on the individual's material, intentional false statement, deception, or fraud, issuance of a PIV card poses an unacceptable risk	Criminal or Dishonest Conduct / Material, Intentional False Statement or Deception or Fraud in Examination or Appointment
Handling Protected Information	The individual will attempt to gain unauthorized access to classified documents	Misconduct or Negligence in Employment
Outside Activities	No Comparable Credentialing Standard	No Comparable Factor
Use of IT Systems	The individual will use Federally-Controlled Information systems unlawfully	Misconduct or Negligence in Employment